



ALABAMA DEPARTMENT OF INSURANCE

Preneed Division

201 Monroe Street, Suite 502

Montgomery, AL 36130-3351

INSTRUCTIONS FOR COMPLETION OF SEMI-ANNUAL REPORT

Upon clicking the link for [ALDOI - Preneed Online](#), you will see the below screen. You must enter your Company #, which is your Certificate of Authority number. Your password was originally provided in an e-mail. If you did not receive a password or have forgotten it, contact the Preneed Division: (334)240-4420 or preneed@insurance.alabama.gov.

Preneed

The Alabama Department of Insurance allows Preneed companies to submit reporting and renewal information, pay annual invoice and renew Preneed Sales Agents.

Please enter your company number and password below to login.

Company #:

Password:

Once logged in, you will see the below screen. Select whether the reporting information is being submitted for the Certificate Holder or a Branch Registrant. You will have to return to this screen for each report you wish to submit, i.e. to submit reporting information for your Certificate of Authority and each Branch Registrant.

Reports are only available during the time listed. If you are trying to submit a report during the appropriate time period, but it does not appear to be available when you log-in, you should contact the Preneed Division.

Preneed

Annual renewals and preneed sales agent renewals may be processed between May 1 and September 1.
First Period Semi-Annual reports may be processed between August 1 and November 1.
Second Period Semi-Annual and Annual reports may be processed between February 1 and May 1.

[Submit Certificate of Authority Reporting Information](#)
[Submit Branch Reporting Information](#)
[Submit Renewal Information](#)

If you have any questions, please contact the Preneed Division at (334)240-4420 or by email at Preneed@insurance.alabama.gov.

INSTRUCTIONS FOR COMPLETION OF SEMI-ANNUAL

Submit Certificate of Authority Reporting Information - Selecting this option will take you to the below screen.

Certificate Of Authority Reporting

Company Number: 12345
Company Name: XYZ Preneed Company
Address: PO BOX 1234
City/State/Zip: Hometown AL 78910
Phone: 1234567890

***NOTICE: Only include information regarding post-law contracts, unless the pre-law contracts are being maintained as if they were post-law in accordance with the Preneed Funeral and Cemetery Act.
*All fields are required. Make sure a fields are correct before submitting.**

Reporting Year:
2016 ▼

First Period (Jan 1 - June 30) Second Period (July 1 - Dec 31)

Reporting Year: The report should default to the correct year, however, you should ensure the year shown agrees with the year you wish to submit and that the Company information is correct. The First Period Semi-annual will be for the current calendar year, but all other reports should be for the prior calendar year.

First Period or Second Period: You must also choose the appropriate period for which you are reporting. Reports are due with 45 days of the end of the period. For your convenience, the dates which each report covers are included below the Period.

Submit Branch Reporting Information – If you selected this option, then after you have confirmed the Reporting Year, Reporting Type and the Reporting Period (if submitting a Semi-annual Report), then you will select the appropriate Branch for which you are submitting a report.

Select a branch and enter reporting information below.

XYZ Funeral Home
 XYZ Cemetery

XYZ Funeral Home

INSTRUCTIONS FOR COMPLETION OF SEMI-ANNUAL

Funding Records

Next, you will add funding records which **ONLY** pertain to the entity, which is the subject of the report, i.e. the certificate holder when filing a Certificate Holder Report or the selected Branch Registrant when filing a Branch Report. Do not combine funding records for more than one licensed/registered entity. If you are operating an additional location, under the same company name and the secondary location does not hold its own Certificate of Authority or Branch Registration, then the records should be combined and reported together. Funding records are divided by type, i.e. Trust, Insurance, Letter of Credit (LOC) and Surety Bond. Do not solely rely on insurer policy listings or trust statements. Your Preneed Log should contain most of the information necessary to complete this report.

[Add Trust Record](#)

[Add Insurance Record](#)

[Add LOC Record](#)

[Add Surety Bond Record](#)

Add Trust Record: You will add a new trust record for each trust account used to fund post-law preneed contracts. You may include any pre-law preneed contracts being maintained in accordance with the Preneed Funeral & Cemetery Act.

Trustee	Trust Funded						Contracts Outstanding
	Principal	Interest	Total In Trust	Written	Cancelled	Fulfilled	
Select Trustee ▼	<input type="text"/>						

Select Trustee – Use the dropdown arrow to find and select the trustee for the funding record.

Principal – This is the total of all of your deposits into this trust account. This **should not** include any realized or unrealized gains/losses or earnings, etc.

Interest – This should include interest and dividends, as well as adjustments for net realized and unrealized gains/losses, as well as any adjustments to death benefits for trust purchased insurance.

Total In Trust – This is the ending balance for the period per your trust statement.

Written – This is the number of preneed contracts written and intended to be funded using this trustee since the last reporting period. If you are not trusting 100% and the contract is not paid-in-full, then the payments collected on some contracts may not be statutorily required to be deposited; however you should include these.

Cancelled – This is any contracts intended to be funded or actually funded with this trustee that have cancelled since the last reporting period.

Fulfilled – This is any contracts intended to be funded or actually funded with this trustee that have been fulfilled since the last reporting period.

Contracts Outstanding – This should only include outstanding contracts funded or intended to be funded with this trustee.

INSTRUCTIONS FOR COMPLETION OF SEMI-ANNUAL

Add Insurance Record: You will **add a new insurance record for each insurer** used to fund post-law preneed contracts. You may include any pre-law preneed contracts being maintained in accordance with the Preneed Funeral & Cemetery Act as if written post-law. **DO NOT include insurance purchased by a trust.** If the insurance is purchased by a trust, then the trust information and related preneed contracts should be included in a trustee record.

Save Insurance Record Cancel	Insurance Funded				
Insurer	Face Value	Written	Cancelled	Fulfilled	Outstanding Contracts
Select Insurer ▼	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Select Insurer – Use the dropdown arrow to find and select the insurer for the funding record. **Select “Pre-owned Insurance” as the Insurer for any contracts in which the preneed contract purchaser brought in insurance already in-force and assigned it to cover the full amount of the preneed contract.** If the “Pre-owned Insurance” did not cover the full amount of the contract and the preneed contract purchaser merely received a credit for the amount, then only report the contract under the ultimate funding method (trust, insurance, etc.) that was used to fund the net balance of the contract.

Face Value – This should be the ultimate value of any annuities or the face value of life insurance in-force with this insurer used to fund preneed contracts. The Face Value initially purchased may not agree with the insurer policy listing as it will likely provide the current value of the annuity and the face value may or may not include additions or “bumps.”

Written – This is the number of contracts written (in-force) with this insurer since the last reporting period.

Cancelled – This is the number of contracts funded with this insurer that have cancelled since the last reporting period, i.e. lapsed, cancelled, terminated, no longer in-force, but not paid out to the Certificate Holder.

Fulfilled - This is the number of contracts funded with this insurer that have been fulfilled (paid-out) since the last reporting period.

Outstanding Contracts - This is the number of contracts funded with this insurer, which remain outstanding/in-force at the end of this reporting period.

INSTRUCTIONS FOR COMPLETION OF SEMI-ANNUAL

Add LOC (Letter of Credit) Record: You will add a new LOC record for each letter of credit, even if each letter of credit is issued by the same bank. You may include any pre-law preneed contracts being maintained in accordance with the Preneed Funeral & Cemetery Act as if written post-law.

Save LOC Record Cancel							
Bank	LOC Number	LOC Funded Amount of LOC	Outstanding Liability	Written	Cancelled	Fulfilled	Outstanding Contracts
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Select Bank – Use the dropdown arrow to find and select the trustee for the funding record.

LOC Number – Enter the LOC Number as it appears on the letter of credit which is also on file with the Preneed Division.

Amount of LOC – This is the amount of the Letter of Credit as it appears on the letter of credit which is also on file with the Preneed Division.

Outstanding Liability – This is the original retail amount of services and cash advances and the actual cost to the entity to provide the undelivered merchandise for all preneed contracts funded by the letter of credit as of the end of the reporting period.

Written – This is the number of contracts which were written and covered by the Letter of Credit since the last reporting period. The contracts should be included in the Outstanding Liability.

Cancelled – This is the number of contracts which were originally covered by the Letter of Credit, but which have cancelled since the last reporting period.

Fulfilled - This is the number of contracts which were originally covered by the Letter of Credit, but which have been fulfilled since the last reporting period.

Outstanding Contracts - This is the total number of contracts which are covered by the Letter of Credit and which are included in the Outstanding Liability as of the end of the reporting period.

INSTRUCTIONS FOR COMPLETION OF SEMI-ANNUAL

Add Surety Bond Record: You will add a new Surety Bond record for each Surety Bond, even if each bond is issued by the same Insurer. You may include any pre-law preneed contracts being maintained in accordance with the Preneed Funeral & Cemetery Act as if written post-law.

Save Surety Bond Record Cancel		Surety Bond Funded					
Issuer	Bond Number	Amount of Surety Bond	Outstanding Liability	Written	Cancelled	Fulfilled	Outstanding Contracts
Select Insurer ▼	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Select Insurer – Use the dropdown arrow to find and select the insurer for the funding record.

Bond Number – Enter the Bond Number as it appears on the Surety Bond, which is also on file with the Preneed Division.

Amount of Surety Bond – This is the amount of the Surety Bond as it appears on the Surety Bond, which is also on file with the Preneed Division.

Outstanding Liability – This is the original retail amount of services and cash advances and the actual cost to the entity to provide the undelivered merchandise for all preneed contracts funded by the Surety Bond as of the end of the reporting period.

Written – This is the number of contracts which were written and covered by the Surety Bond since the last reporting period. The contracts should be included in the Outstanding Liability.

Cancelled – This is the number of contracts which were originally covered by the Surety Bond, but which have cancelled since the last reporting period.

Fulfilled - This is the number of contracts which were originally covered by the Surety Bond, but which have been fulfilled since the last reporting period.

Outstanding Contracts - This is the total number of contracts which are covered by the Surety Bond and which are included in the Outstanding Liability as of the end of the reporting period.

INSTRUCTIONS FOR COMPLETION OF SEMI-ANNUAL

Totals

You should obtain the information for the “total” questions from your preneed contract log.

Totals

Total contracts outstanding per preneed log:

Total net sales of all outstanding preneed contracts per log:

Total contracts outstanding per preneed log: Your preneed log should be up to date through the end of the reporting period. Enter the number of contracts that are shown as outstanding on your preneed contract log. Please be advised, we may request your log to confirm the number. You may include any pre-law being maintained in accordance with the Preneed Funeral & Cemetery Act as if it were written post-law.

Total net sales of all outstanding preneed contracts per your log: This is the net sales amount of all outstanding post-law preneed contracts according to your log. **Net Sales** is the total retail value of all outstanding post-law preneed contracts, regardless of funding method or whether paid-in-full, less any discounts or credit for insurance applied to the contract. You may include any pre-law being maintained in accordance with the Preneed Funeral & Cemetery Act as if it were written post-law.

E-Signature

This is the final step before submission. It should be completed by the representative submitting the report. The 4-digit e-Signature is a number of the submitting representative’s choosing.

E-Signature

I, as the certificate holder or the representative authorized to sign on behalf of the certificate holder, certify that the above information is true and correct to the best of my knowledge and belief. I certify that I have complied with all of the requirements of Chapter 27-17A, Code of Alabama, 1975. I understand that any person who knowingly presents false or fraudulent information to the Commissioner of Insurance or his representative, willfully fails to timely make deposits to trust, or knowingly withdraws unauthorized funds or assets from a trust may be guilty of a felony under Alabama Law and subject to restitution, fines, loss of any or all certificates of authority or other applicable licenses, prison or any combination thereof.

Please enter your full name and any four-digit number of your choosing to show your intention to sign this document.

Representative Name:

4-digit e-Signature:

NOTE: The Department has requested that insurers and trustees submit preneed policy data and trust information on your behalf. However, the certificate holder is ultimately responsible for submitting the supporting documentation for its funding records (and those of its branches). Information should be submitted online from the Preneed website. A link, “Upload Documentation,” is located near the bottom of the “Reporting Requirements” page of the Preneed website: <http://www.aldoi.gov/Preneed/Reporting.aspx>